Knowledge Services MSP SOW/Project

Request for IV&V Services

HCM-Payroll Modernization Implementation

November 21, 2019

Timeline / Important Dates

Activity	Date
Issue of SOW/Project Request for Services	November 21, 2019
Deadline for Vendors to Submit Written Questions to **MSP_SOINProjects@knowledgeservices.com** by 2:00pm EST	November 25, 2019
Agency Answers to Written Questions	November 27, 2019
Proposals Due in dotStaff™ by 2:00pm EST	December 16, 2019
Evaluation of Proposals	December 16 – December 20, 2019
Potential On-Site Demo/Discussion	January 6 – January 15, 2020
Services Awarded	January 17, 2020
Services Start	February 3, 2020

The above timeline is only an illustration of the SOW/Project RFS process. The dates associated with each step are not to be considered binding. Due to the unpredictable nature of the SOW/Project RFS process in general, these dates are commonly subject to change. At the conclusion of the evaluation process, all Respondents will be informed of the evaluation team's findings.

Project Overview

1. Project Background, Purpose and Objective

The State, led by the Auditor of State, State Personnel and Indiana Office of Technology organizations, has been executing the HCM-Payroll Modernization project to transform the human resources and payroll business processes and technologies. A team, including members from three branches of government, multiple State agencies and quasi-agencies, boards, commissions, the State Budget Agency (SBA), AOS, SPD and IOT, has worked diligently throughout this year to define requirements, evaluate implementation service proposals and select an implementation service approach and partner to lead implementation efforts.

The HCM-Payroll Modernization project continues to be focused on achieving a complete, efficient implementation of the State's PeopleSoft HCM solution including the following objectives:

- Transforming HCM from the current 9.1 version to 9.2 eliminating all unnecessary customizations
- Implementing PeopleSoft HCM payroll capabilities, replacing the GEAC legacy payroll solution, and integrating with other PeopleSoft functions
- Transforming the HR and Payroll processes throughout State government to support the most efficient, effective implementation of the PeopleSoft HCM solution
- Implementing tools and support processes to maintain future HCM product updates and facilitate continuous improvement
- Implementing additional value-added HCM functional capabilities through new modules such as Absence Management

The purpose of this MSP RFS is to select an Independent Verification & Validation (IV&V) vendor that will provide independent project oversight services for the HCM-Payroll Modernization Implementation project.

Additional background information can be found in the RFP 19-105 document at the following URL:

https://ingov-my.sharepoint.com/:f:/g/personal/secooper_idoa_in_gov/EkOWzsEBLOxAhwcNTKRd1fUBJbr2q3wZQJDAWuxTFDaovA?e=jm2rJg

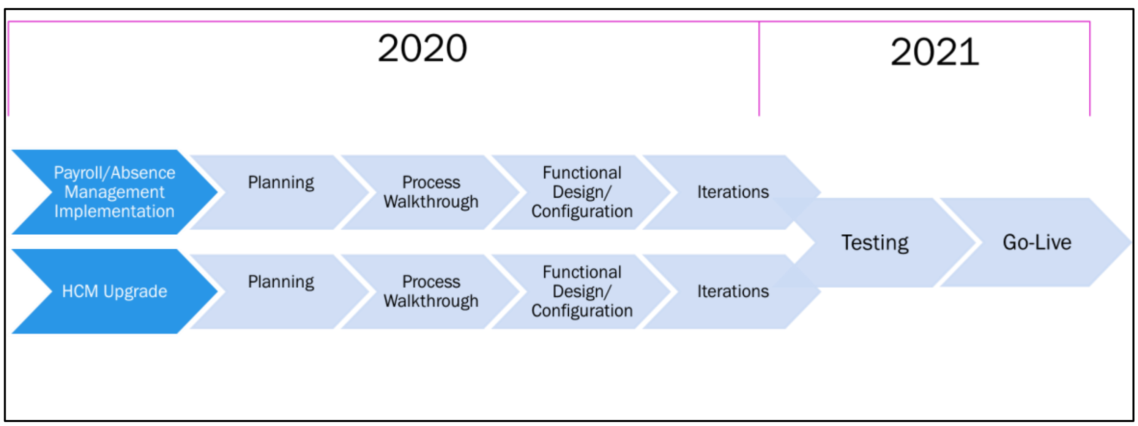
2. Scope of Work & Deliverables

a. In Scope

The State is seeking a vendor to provide independent project oversight services using the IV&V focus areas defined in Appendix A of this document, and a detailed lessons learned activity upon completion of the HCM-Payroll Modernization Project.

The State has selected Accenture to provide leadership and expert knowledge for the HCM-Payroll Modernization Implementation project. The project approach, methodology, and plan will upgrade the current PeopleSoft HCM 9.1 application and implement new capabilities in one release to minimize the time and costs to deliver value. An experienced team of State and Accenture resources is being assembled to execute an aggressive and efficient implementation starting in February 2020.

The project will include the functional upgrade to PeopleSoft HCM 9.2, implementation of new modules including Payroll and Absence Management, and streamlining existing processes across the State. During periods of peak activity, the combined team of State and Accenture resources is expected to approach 60 team members. The preliminary project plan includes an 18-month implementation timeline followed by a 6-month post-implementation period. The approach is illustrated below:



The project team will utilize the Accenture tools and practices that have been developed during many similar state government projects. The State realizes a project of the size and complexity has inherent risks, even with a proven team and approach. The following is a partial list of expected risks:

- Agencies not able to standardize business practices to reduce customizations to the ERP system
- State running legacy payroll operations and maintaining the project schedule
- Significant State resource requirements
- Competing State initiatives
- Third party vendors impact on the project schedule
- Data discrepancies between current HCM and GEAC Payroll systems
- Integration including Finance and HCM
- Ability to manage HR and Benefits changes that could impact payroll processing

Milestones to be delivered as part of this scope are defined in section 3 of this document.

b. Out of Scope

To remain independent, the IV&V vendor should not participate on project activities that are not required to provide independent project oversight as described in this document.

3. Milestones/Deliverables

The following table identifies the IV&V deliverables for this scope of work. The State reserves the right to change due dates, in its sole discretion. The IV&V service provider must notify the State of an anticipated delay of a deliverable, as far in advance of the due date as possible.

NOTE: While the following table identifies the specific deliverables, it is expected that the IV&V vendor will provide "just-in-time" feedback to various members of the project team as soon as risk/finding is identified rather than waiting to discuss the details when the report is distributed.

Deliverable	Description
Monthly Assessment Reports and Management Meetings	Each IV&V evaluation period starts on the first day of the month and ends on the last day of the month and is known as the "Evaluation Month". The IV&V vendor shall produce a monthly report for each evaluation month that contains findings, associated actionable recommendations, and timing when the finding could worsen. These monthly reports shall use the State of Indiana's IV&V report template and shall be distributed to the identified stakeholders in the following timeline: • First draft of the report shall be distributed by the IV&V vendor on or before the **3rd business day** of the month following the evaluation month. • The IV&V Vendor shall organize and lead a monthly meeting with the Agency Project Sponsor and other team members on or before the **8th business day** of the month following the evaluation month to review key IV&V findings and to capture State of Indiana feedback / response to those findings. The IV&V vendor shall provide presentation materials for the monthly meetings in a format that is mutually agreed to by the State of Indiana and the IV&V vendor. • The IV&V vendor shall leverage State of Indiana feedback / response to produce and distribute a Final version of the report on or before the **15th business day** of the month following the evaluation month.
Quarterly and "Just-In-Time" Meetings with Leadership	The IV&V vendor shall participate in quarterly and "Just-In-Time" project meetings with State of Indiana leadership as requested throughout the project.
Lessons Learned Report and Review Session	The IV&V vendor shall conduct one or more lessons learned sessions with various project team members to identify and discuss both opportunities for improvement as well as positive outcomes. The results shall be documented and delivered in a report and shall be discussed with the Project Sponsor and other team members during a review session to ensure clarity and understanding.

***NOTE:** Once the project progresses to the final 3 months prior to implementation, the State may request the vendor to generate mid-month assessment reports as deemed appropriate to ensure timely and valuable feedback. The State will provide 30 days' notice of its desire to include these optional services.

Evaluation Process and Criteria

Proposals will be evaluated based upon the proven ability of the Respondent to satisfy the requirements of the Request for Project Services in a cost-effective manner.

Summary of Evaluation Criteria:

Criteria	Points
1. Adherence to Mandatory Requirements	Pass/Fail
2. Management Assessment/Quality (MAQ)	60 available points
3. Cost (Cost Proposal)	35 available points
4. Buy Indiana	5 available points
Total	**100 available points**

All proposals will be evaluated using the following approach.

Step 1

In this step proposals will be evaluated only against Criteria 1 to ensure that they adhere to Mandatory Requirements. Any proposals not meeting the Mandatory Requirements will be disqualified.

Step 2

The proposals that meet the Mandatory Requirements will then be scored based on Criteria 2 and 3 ONLY. This scoring will have a maximum possible score of 95 points. All proposals will be ranked based on their combined scores for Criteria 2 and 3 ONLY. This ranking may be used to create a "short list". Any proposal not making a "short list" will not be considered for any further evaluation.

Note: Step 2 may include one or more rounds of proposal discussions, oral presentations, clarifications, demonstrations, etc. focused on cost and other proposal elements. Step 2 may include a second "short list".

Step 3

If the State conducts additional rounds of discussions and a best and final offer (BAFO) round which lead to changes in either the MAQ or Cost sections for the listed Respondents, their scores will be recomputed.

The short-listed proposals will then be evaluated based on all the entire evaluation criteria outlined in the table above.

Step 4
The response receiving the highest combined Total score, as outlined in the table above, will receive the award.

The below describes the different evaluation criteria.

Adherence to Requirements [Pass/Fail]

Respondents passing this category move to Step 2 and the proposal is evaluated for Management Assessment/Quality and Price.

Management Assessment/Quality [60 available points]

Proposals will be evaluated based upon the proven ability of the Respondent to satisfy the requirements of this Project RFS.

Cost [35 available points]

Cost scores will be normalized to one another, based on the lowest cost proposal evaluated. The lowest cost proposal receives a total of 35 points. The normalization formula is as follows:

Respondent's Cost Score = (Lowest Cost Proposal / Total Cost of Proposal) X 35

Buy Indiana [5 available points]

Respondents qualifying as an Indiana Company will receive 5 points in this category.

Respondent must clearly indicate which preference(s) they intend to claim in the Supplier Response section, contained within Company Information (Respondent will only be evaluated on the criteria selected/cited from IC 5-22-15-20.5).

Additionally, Respondents that wish to claim the Buy Indiana preference (for any criteria listed below) ***must have an email confirmation*** *of their Buy Indiana status provided by buyindianainvest@idoa.in.gov included in the proposal response. The email confirmation must have been provided from within one year prior to the proposal due date.*

It is the Respondent's responsibility to confirm its Buy Indiana status for this portion of the process. If a Respondent has previously registered its business with IDOA, go to http://www.in.gov/idoa/2464.htm and click on the link to update this registration. Click the tab titled Buy Indiana. Select the appropriate category for your business. Respondents may only select one category. Certify this selection by clicking the check box next to the certification paragraph. Once this is complete, save your selection and exit your account.

Respondents that have not previously registered with IDOA must go to http://www.in.gov/idoa/2464.htm and click on the link to register. During the registration process, follow the steps outlined in the paragraph above to certify your business' status. The registration process should be complete at the time of proposal submission.

Defining an Indiana Business:

"Indiana business" refers to any of the following:

1) A business whose principal place of business is located in Indiana.
2) A business that pays a majority of its payroll (in dollar volume) to residents of Indiana.
3) A business that employs Indiana residents as a majority of its employees.
4) A business that makes significant capital investments in Indiana.
5) A business that has a substantial positive economic impact on Indiana.

Substantial Capital Investment:

Any company that can demonstrate a minimum capital investment in Indiana of $5 million or more in plant and/or equipment or annual lease payments in Indiana of $2.5 million or more shall qualify as an Indiana business under I.C.5-22-15-20.5 (b)(4).

Substantial Indiana Economic Impact:

Any company that is in the top 500 companies (adjusted) for one of the following categories: number of employees (DWD), unemployment taxes (DWD), payroll withholding taxes (DOR), or Corporate Income Taxes (DOR); it shall qualify as an Indiana business under I.C. 5-22-15-20.5 (b)(5).

Supplier Response

All items listed below are mandatory. If any are not included, the proposal may be failed and eliminated from consideration.

The Respondent acknowledges that the State will not treat any proposals as containing confidential information.

Any proposals received with conditions of confidential information will be not be considered.

The response should be in the following order:

1. **COMPANY INFORMATION**

   Provide legal name of your company, street address, legal incorporation status, name of subsidiaries, company size, parent company, and how long the company has been in business.

2. **GENERAL COMPANY PROFILE**

   Identify and describe the services your company provides and your company's key focus area(s).

   Describe your company's competitive advantage (what sets you apart or your company strength).

3. **EXECUTIVE SUMMARY (Please limit to two pages)**

   Please provide a summary of your proposal including services, deliverables and costs.

4. **EXPERIENCE / EXPERTISE**

   Describe your experience and expertise providing IV&V and Quality Assurance services for large, complex ERP projects. Given the scope of the HCM-Payroll Modernization Implementation, the state requires strong team member experience on PeopleSoft HCM upgrade and PeopleSoft Payroll implementation projects of similar size and complexity.

   Provide resumes of key team members that will participate in this project and/or service.

5. **REFERENCES**

   Provide three References for which your company provided a similar project and/or services being requested.

6. **APPROACH AND PLAN**

   Provide an overview of how you will accomplish the services/deliverables identified for this project/service and what value you will provide to the project.

   Provide detailed steps that you will take to deliver the highest quality services and value to the state of Indiana in regard to the services/deliverables identified.

   Provide sample deliverables for projects of similar size and complexity.

7. **PRICING SUMMARY**

   Provide a total IV&V cost for the milestones/deliverables identified in this document. The total IV&V cost must not exceed $750,000. Assume IV&V services will start on February 3rd, 2020 with an estimated end date of August 3rd, 2021 (18 months) along with a lessons learned exercise to follow that end date.

Milestones/Deliverables	Total IV&V Cost
1) 18 Monthly Assessments, Reports, and Management meetings. **2) 6 Quarterly Leadership Meetings and one-off "Just-In-Time" Meetings (as needed).** **3) 1 Lessons Learned Report and Review Meeting.**	$

*** Note:** Total IV&V costs are not to exceed amount submitted/proposed for the given time period.

Milestones/Deliverables	Total Optional IV&V Cost
4) 3 Optional Mid-Month Assessment Reports During 3 Months Prior To Implementation	$

*** Note:** State will provide 30 days' notice if optional mid-month assessment reports will be added to the scope of services.

Appendix A – IV&V Scope Categories / Focus Areas

The list of IV&V Categories and Focus Areas below are standard scope items for all projects undergoing IV&V review and assessment.

IV&V Code	IV&V Category	IV&V Focus Area	Description
REQ.01	Requirements	Maintenance	Requirements should be added, adjusted, removed as needed throughout the project and should integrate into the change management process
REQ.02	Requirements	RTM	Project should have traceability between requirements, design, and testing
REQ.03	Requirements	Type	Business and technical requirements should be included in requirements documentation
DES.01	Design	Participation	Appropriate team members included (business, technical, architecture)
DES.02	Design	Documentation Level	Design documents should include both business and technical designs in sufficient detail
DES.03	Design	Sign-off	Design documents should be agreed to and signed-off by the project Sponsor, owners of areas impacted and IOT team
DES.04	Design	Maintenance	Design docs should be updated as needed throughout the project lifecycle
COM.01	Communication	Communication Plan	Each project should have a communication plan that describes in sufficient detail the communication requirements throughout the project and signed by PM and Sponsor
COM.02	Communication	Stakeholder Engagement	Appropriate business team members should be engaged during the requirements gathering, design, testing, identification of success factors, removal of barriers, etc.
COM.03	Communication	Project Team	Reoccurring project team meetings should be scheduled (recommended weekly) to ensure tracking / monitoring progress, risk/issue management, etc.
COM.04	Communication	Sponsors / Key Stakeholders	Communications (meetings/emails/etc.) with sponsor and key stakeholders to provide timely updates, answer questions, and drive timely escalation as needed
COM.05	Communication	Other Stakeholders	Communications with stakeholders not considered core to project (training, operations, procurement, etc.)
COM.06	Communication	Meeting Minutes	Minutes should be captured for all project meetings and distributed within 24 hours after the meeting and should be archived in an area accessible by all team members.
RIM.01	Risk / Issue Management	Level of Detail	Risks should be identified and documented at a level of detail required to sufficiently plan, track, and manage
RIM.02	Risk / Issue Management	Prioritization	Risk should be prioritized according to overall score (likelihood X severity)
RIM.03	Risk / Issue Management	Management	Each risk should have sufficient mitigation plans to reduce likelihood or severity of a risk and contingency plans to reduce the impact when a risk becomes an issue
RIM.04	Risk / Issue Management	Tracking / Monitoring	Risks/Issues log should be monitoring and updated on a regular basis (typically weekly during project team meetings)
RIM.05	Risk / Issue Management	Ownership	Each risk/issue should have an owner identified that is responsible for monitoring, tracking, reporting, and taking action for that specific risk/issue
RIM.06	Risk / Issue Management	Trigger	A trigger and associated date should be identified as needed to help plan and manage the risk

IV&V Code	IV&V Category	IV&V Focus Area	Description
RIM.07	Risk / Issue Management	Escalation Process	A clearly defined process should be in place for escalating a changing risk or escalating a risk that has become an issue.
CM.01	Change Management	Process	A detailed change management process should be in place to include identification, documenting, and approval
CM.02	Change Management	Information	The effort, cost, value, and impact (of doing and not doing) should be documented for each change
CM.03	Change Management	Tracking	Changes requests should be documented at sufficient detail and progress tracked
CM.04	Change Management	Documentation	Associated requirements and testing documentation should be updated to include changes
TST.01	Testing	Test Plan	Test Plan should be created and signed off by sponsor
TST.02	Testing	Test Cases / Scripts	Detailed steps that will be used during testing
TST.03	Testing	RTM	Requirements Traceability Matrix should integrate requirements and testing and should be maintained throughout the project as requirements and designs are added / modified.
TST.04	Testing	Involvement	Subject Matter Experts, End User, Support staff, etc. should be involved in the testing
TST.05	Testing	Level of Detail	Test cases and scripts should be documented at sufficient detail such that anyone not familiar with project could execute
TST.06	Testing	Test Results	Test results should be captured and reviewed and signed by Sponsor. Results of steps should be specifically documented and marked as "passed" or "failed"
TST.07	Testing	Issue Tracking	Issues found during testing should be well documented and tracked through correction and resolution
TST.08	Testing	Environment	Final testing (UAT) should be conducted in an environment that mimics production environment as close as possible
TST.09	Testing	Types	Testing should include performance, security, disaster recovery, etc. as needed in addition to application testing (SIT and UAT)
TRN.01	Training	Training Plan	Training plan should be created with sufficient details to describe pre and post implementation training requirements. Plan should be signed by the project sponsor
TRN.02	Training	Timing	Training should be delivered to the right people at the right time.
TRN.03	Training	Content	Training should focus on what each role needs to do their job.
TRN.04	Training	Delivery	Training should be delivered in the most effective method given the type of content and trainees and often requires multiple delivery types (ILT, CBT, Check lists, etc.)
TRN.05	Training	Monitoring / Adjusting	A plan should be in place to monitor effectiveness of training content and adjust as needed based on findings
PM.01	Project Management	Project Manager	Project Manager should be assigned during initiation for all projects and should have capacity to adequately manage the project
PM.02	Project Management	Project Site	Each project should have a project SharePoint site to store project documents, document risk/issues, collaborate, etc.
PM.03	Project Management	Schedule Creation	A fully integrated project schedule should be created and agreed to by team members that own the work. Project sponsor should review and approve the overall timeline.

IV&V Code	IV&V Category	IV&V Focus Area	Description
PM.04	Project Management	Schedule Baseline	The schedule should be baselined and progress should reflect comparison to baseline. Re-baselining should only occur after approvals and should follow baselining procedures
PM.05	Project Management	Schedule Maintenance	The schedule should be updated on a regular basis (recommended weekly) to track progress, identify schedule risk, and make adjustments as needed.
RM.01	Resource Management	Documentation	Roles and Responsibilities should be documented and signed off by key project stakeholders.
RM.02	Resource Management	Monitoring	Resource capacity by role should be tracking and should be forward looking to adequately plan for allocation issues
RM.03	Resource Management	Communication	Should be a method of updating resource managers with current and future allocation needs.
RM.04	Resource Management	Planning	Should be a strategy in place to replace key resources in case they are no longer available to work on the project.
RM.05	Resource Management	Availability	The appropriate types of resources should be available in the appropriate capacity to complete the work in the allocated time based on the schedule.
SR.01	Status Reporting	Content	Status reports should be consistent, complete, and accurate and contain information adequate for someone not involved in daily project activities to get a clear project picture.
SR.02	Status Reporting	Timeliness	Status reports should be updated and communicated in a timely manner to ensure actions can be taken as needed while minimizing project impact (monthly recommended).
SR.03	Status Reporting	Action	Decision makers and individuals that can remove barriers must be engaged and take action in a timely manner when needed
SR.04	Status Reporting	Audience	Status reports must be available/visible to the personnel that can and should take action as needed
SR.05	Status Reporting	Metrics	Metrics should demonstrate the true status of the project and be based on progress against the baselined schedule
DM.01	Documentation Management	Storage	A project site should be created for all projects so that documents can be stored, accessed, updated and shared with project team members and stakeholders
DM.02	Documentation Management	Maintenance / Versioning	Project documents should be updated as needed throughout the project and should be versioned such that changes during the life of the document are visible and understood.
DM.03	Documentation Management	Sign-off	All documents should be reviewed and signed by the appropriate personnel to ensure the right people reviewed and agree with the content.
IMP.01	Implementation	Strategy	A detailed implementation strategy should be identified (all at once, waves, etc.), documented, and approved by the sponsor
IMP.02	Implementation	Plan	A detailed implementation plan should be created that can be used during the roll out. Task, dependencies, owners, communications, testing, etc. should be included in the plan.
IMP.03	Implementation	Decision	Go - No Go decision points should be well documented and approvals documented via emails etc. along the way.
SUP.01	Support	Transition Plan	A detailed transition plan should be created, and reviewed and signed off by the support team
SUP.02	Support	Participation	Members of the support team should be given opportunity to assist in testing and should be trained prior to go live. Should also participate in the implementation planning.

IV&V Code	IV&V Category	IV&V Focus Area	Description
SUP.03	Support	Sign-off	Manager of support group should sign-off that transition from the project team to the support team occurred to his/her satisfaction
SUP.04	Support	Project Team	Team should plan to be available to assist support team during a warranty period as agreed to by various stakeholders.
VM.01	Vendor Management	Clear Roles / Responsibilities	Detailed project roles/responsibilities should be defined, documented and approved prior to engagement and should be updated and maintained throughout the engagement.
VM.02	Vendor Management	Clear Expectations	Expectations should be clearly defined to include communications, participation in meetings, status updates, risk management, etc.
VM.03	Vendor Management	Communications	Regular meetings should be scheduled with vendor resources and they should be added to the distribution lists for emails and included on the appropriate SharePoint site.
VM.04	Vendor Management	Reporting	Vendor reports (status, billing, etc.) should be delivered on time with complete and accurate data.
VM.05	Vendor Management	Escalation Process	Clear process should be defined and escalation point of contact identified and communicated.
MS.01	Miscellaneous	Stakeholder Commitment	Stakeholders should be fully engaged and perform their responsibilities as described in the roles/responsibilities document
MS.02	Miscellaneous	Lessons Learned	Lessons learned should be captured throughout the project and updated and finalized in a meeting with the appropriate team members during the closing phase.
DCM.01	Data Conversion / Migration	Strategy / Plan	A detailed strategy and plan should be identified, documented, and agreed to early in the project
DCM.02	Data Conversion / Migration	Priority / Focus / Execution	The appropriate focus should be given to data conversion / migration activities early and throughout the project to ensure data conversion is not on the critical path and slowing the project.
OCM.01	Organizational Change Management	Methodology, Planning and Execution	The appropriate focus should be given to organization change management methodologies, planning and execution activities to ensure process, role and responsibility changes are managed effectively.
INT.01	Internal and External Interfaces	Priority / Focus / Execution	The appropriate focus should be given to Internal and external interfaces activities early and throughout the project to ensure integration is not on the critical path and slowing the project.